

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER OT-5426
INTERNATIONAL APPLICATION NO. PCT/EP2004/013529		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/579005
INTERNATIONAL FILING DATE 29 November 2004		PRIORITY DATE CLAIMED 29 November 2003
TITLE OF INVENTION DEVICE FOR RESTRAINING THE RISE OF A STEP ROLLER OF A PEOPLE CONVEYOR		
APPLICANT(S) FOR DO/EO/US SCHMIDT, Rainer; STUFFEL, Andreas; KIM, Jeong Rak		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.		
2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.		
3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.		
4. <input checked="" type="checkbox"/> The US has been elected (Article 31).		
5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))		
a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).		
b. <input type="checkbox"/> has been communicated by the International Bureau.		
c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).		
6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).		
a. <input type="checkbox"/> is attached hereto.		
b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).		
7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))		
a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).		
b. <input checked="" type="checkbox"/> have been communicated by the International Bureau.		
c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.		
d. <input type="checkbox"/> have not been made and will not be made.		
8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).		
9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).		
10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).		
Items 11 to 20 below concern document(s) or information included:		
11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.		
12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.		
13. <input checked="" type="checkbox"/> A preliminary amendment.		
14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.		
15. <input type="checkbox"/> A substitute specification.		
16. <input type="checkbox"/> A power of attorney and/or change of address letter.		
17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.		
18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).		
19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 1.5em; font-weight: bold;">10/579005</div>	INTERNATIONAL APPLICATION NO. PCT/EP2004/013529	ATTORNEY'S DOCKET NUMBER OT-5426																						
20. Other items or information: Form PTO-2038																								
The following fees have been submitted		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">CALCULATIONS</th> <th style="width: 50%;">PTO USE ONLY</th> </tr> </table>	CALCULATIONS	PTO USE ONLY																				
CALCULATIONS	PTO USE ONLY																							
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$ 300</td> <td style="width: 50%;"></td> </tr> </table>	\$ 300																					
\$ 300																								
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations.....\$200		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$ 200</td> <td style="width: 50%;"></td> </tr> </table>	\$ 200																					
\$ 200																								
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....\$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400 All other situations.....\$500		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$ 400</td> <td style="width: 50%;"></td> </tr> </table>	\$ 400																					
\$ 400																								
TOTAL OF 21, 22 and 23 =		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">900</td> <td style="width: 50%;"></td> </tr> </table>	900																					
900																								
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.																								
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 15%;">Total Sheets</th> <th style="width: 15%;">Extra Sheets</th> <th style="width: 40%;">Number of each additional 50 or fraction thereof (round up to a whole number)</th> <th style="width: 30%;">RATE</th> </tr> <tr> <td>29 - 100 =</td> <td>0 /50 =</td> <td>0</td> <td>x \$250</td> </tr> </table>	Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE	29 - 100 =	0 /50 =	0	x \$250	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$ 0</td> <td style="width: 50%;"></td> </tr> </table>		\$ 0													
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE																					
29 - 100 =	0 /50 =	0	x \$250																					
\$ 0																								
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$</td> <td style="width: 50%;"></td> </tr> </table>	\$																					
\$																								
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 15%;">CLAIMS</th> <th style="width: 15%;">NUMBER FILED</th> <th style="width: 15%;">NUMBER EXTRA</th> <th style="width: 30%;">RATE</th> </tr> <tr> <td>Total claims</td> <td>13 - 20 =</td> <td>0</td> <td>x \$ 50</td> </tr> <tr> <td>Independent claims</td> <td>1 - 3 =</td> <td>0</td> <td>x \$200</td> </tr> <tr> <td colspan="3"></td> <td>+ \$360</td> </tr> </table>	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	13 - 20 =	0	x \$ 50	Independent claims	1 - 3 =	0	x \$200				+ \$360	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$ 0</td> <td style="width: 50%;"></td> </tr> <tr> <td style="width: 50%;">\$ 0</td> <td style="width: 50%;"></td> </tr> <tr> <td style="width: 50%;">\$ 0</td> <td style="width: 50%;"></td> </tr> </table>		\$ 0		\$ 0		\$ 0	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE																					
Total claims	13 - 20 =	0	x \$ 50																					
Independent claims	1 - 3 =	0	x \$200																					
			+ \$360																					
\$ 0																								
\$ 0																								
\$ 0																								
TOTAL OF ABOVE CALCULATIONS =		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$ 900</td> <td style="width: 50%;"></td> </tr> </table>	\$ 900																					
\$ 900																								
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.																								
SUBTOTAL =		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$ 900</td> <td style="width: 50%;"></td> </tr> </table>	\$ 900																					
\$ 900																								
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$</td> <td style="width: 50%;"></td> </tr> </table>	\$																					
\$																								
TOTAL NATIONAL FEE =		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$ 900</td> <td style="width: 50%;"></td> </tr> </table>	\$ 900																					
\$ 900																								
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$</td> <td style="width: 50%;"></td> </tr> </table>	\$																					
\$																								
TOTAL FEES ENCLOSED =		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">\$ 900</td> <td style="width: 50%;"></td> </tr> </table>	\$ 900																					
\$ 900																								
		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Amount to be refunded:</td> <td style="width: 50%;">\$</td> </tr> </table>	Amount to be refunded:	\$																				
Amount to be refunded:	\$																							
		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Amount to be charged</td> <td style="width: 50%;">\$</td> </tr> </table>	Amount to be charged	\$																				
Amount to be charged	\$																							

10/579005

PTO-1390 (Rev. 07-2005)
Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO-1390 (Rev. 07-2005) 11 MAY 2006

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☐ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. _____. A duplicate copy of this sheet is enclosed.
- d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Lisa A. Bongiovi
Otis Elevator Company
10 Farm Springs
Farmington, CT 06032

Date: May 10, 2006



SIGNATURE

Lisa A. Bongiovi

NAME

48,933

REGISTRATION NUMBER

10/579005

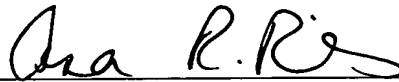
CERTIFICATE OF MAILING UNDER 37 CFR 1.10

AP20 Rec UPCI/PTO 11 MAY 2006

I hereby certify that the correspondence attached hereto is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

EV 806909079 US
Express Mail Number

May 11, 2006
Date



Signature

Ana R. Rivera
Typed or printed name

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Enclosures:

1. Form PTO-2038;
2. Transmittal Letter to the United States Designated/Elected Office Concerning a Filing under 35 U.S.C. 371;
3. Declaration
4. Preliminary Amendment;
5. Information Disclosure Statement;
6. Form PTO/SB/08A including references;
7. Copy of International Publication No. WO 2005/051831 A1;
8. Copy of International Search Report;
9. Copy of Written Opinion;
10. Copy of Response to Written Opinion (with Article 34 Amendment) with Demand; and
11. Copy of International Preliminary Examination Report

Int'l Appln. No. PCT/EP2004/013529
Atty. Docket No. OT-5426